

## GRANTEE MONITORING

### Grantee Monitoring Form

Grantee Name	New Beginnings Family Services
Location/Address	1755 Old West Main Street Suite 101 Red Wing, MN 55066
Date and Location of Site Visit	Friday, November 4, 2016 at New Beginnings Family Services
Grantee Participants	Mandy Fleming, Executive Director Tami Connelly, Client Advocate
MDH Participant(s)	Mary Ottman
Grant Agreement #/PO #	0000286642 (Vendor ID)

#### **PURPOSE:**

In accordance with the MDH Policy 238.01 Grantee Monitoring, MDH will conduct at least one monitoring visit per grant period on all state grants of over \$50,000, and at least annual monitoring visits on grants of over \$250,000.

The purpose of the grant monitoring visit is to review and ensure progress against the grants' goals, to address any problems or issues before the end of the grant period and to build rapport between the state agency and the grantees. This visit may cover topics such as statutory compliance; challenges faced by the grantee, modifications made to the grant program, program outcomes, grantee policies and procedures, grantee governance, and training and technical assistance needs.

The findings or information obtained through this monitoring activity will be used:

- To ascertain how MDH program funds are being utilized
- To provide targeted technical assistance needs
- To improve program implementation performance

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- To suggest other training needs
- In future funding decisions

### OVERVIEW

1. Is the Grantee's non-profit 501(c) 3 status current?

YES

2. Does the Grantee have a central file containing the official records for this grant agreement and/or amendment?

YES

3. Where is this central file located?

The contents are kept in a three ring binder that is filed in the locked file cabinet.

4. Who is responsible for this central file?

The Executive Director is responsible for the binder.

5. Does the central file include

- The grant proposal? - YES
- The award letter? - YES
- The signed grant agreement and any/all amendments? - YES
- Any/all requests and/or approvals for scope/budget changes? – N/A
- The work plan? - YES
- Any/all payment requests (invoices)? - YES
- Any/all signed subcontracts? Not applicable (no subcontracts) – N/A
- Any/all Progress Reports? – N/A

### REPORTING REQUIREMENTS

1. Does the organization meet all reporting requirements as outlined in the grant agreement and/or amendment?

YES

2. Are expenditure reports submitted timely and accurately?

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YES

3. Are progress reports submitted with all required information and in a timely manner?

YES

### CONTRACTUAL

1. Does the Grantee have written policies or procedures addressing use of contractors and/or subcontractors?

NO

2. Were any sub-contractors paid from the MDH grant required to sign a contractual agreement outlining services to be rendered, duration of engagement, and pay rate?

NO

3. Was the contractual agreement(s) reviewed and approved by MDH before implementation?

N/A

### PERSONNEL POLICIES, PROCEDURES AND PRACTICES OF THE GRANTEE

1. Are time distribution records (e.g., time-sheets) maintained to show how employees who are funded through, or contributed in kind to, the MDH grant and who work on multiple projects/programs spend their time?

YES. The MDH Excel spreadsheet example was reviewed.

2. Do personnel and/or payroll records show dates of hire/termination, immigration status if applicable, actual hours of time worked, leave time, federal and state programs worked on, and earning for all employees who are funded through, or contributed in kind, to the MDH grant?

YES

3. Does the Grantee have policies and procedures in writing regarding:

- Payroll? – [SEE PAY-CHECK POLICY](#)
- Travel? – [SEE REIMBURSEMENT OF OUT OF POCKET EXPENSES](#)
- Overtime? – [SEE OVERTIME POLICY](#)

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- Timesheets? - [SEE PAY-CHECK POLICY](#)
- Taxes? - [SEE PAY-CHECK POLICY](#)
- Purchasing? – [SEE REIMBURSEMENT OF OUT OF POCKET EXPENSES](#)
- Compensated time off? - [SEE PAID TIME OFF AND COMPENSATORY TIME OFF POLICIES](#)

4. Are employees time sheets approved?

[YES](#)

By whom (what position)?

[-Executive Director and the board treasurer](#)

By the Executive Director?

[-YES](#)

5. Does the Grantee's payroll preparation and distribution involve more than one employee?

[This task is performed by our Board Treasurer](#)

6. Does an authorized official approve all checks before being signed?

[Checks in the amount of \\$250 or less are approved by the Executive Director. Checks greater than \\$250 are approved by the Executive Board.](#)

Additional Comments:

[The Center's policies and grant organizational policies appear in order.](#)

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### PROGRAMMATIC QUESTIONS

Please use this space to answer all questions.

#### ***Program History***

- When was your program started? Why was it started?  
The Center was opened in 2006. The purpose of the program was to provide support to those facing an unplanned pregnancy.
- What need does your program fulfill?  
We help to meet the basic needs of those in crisis situation involving an unplanned pregnancy or infant. This included education and material assistance.
- How has the program grown or changed since its beginning?  
We continue to see an increased number of participants annually. With increased funding we have been able to provide more material items to our clients and expand the pregnancy and parenting curriculum we have to offer.

#### ***Grantee's Target population***

- Who does the organization primarily serve?  
Single parents
- What is the program's demographic and geographic coverage?  
Primarily unmarried, white females in their mid to late twenties
- Review recent Demographic reporting.  
See first quarter report. Numbers are less than outlined in the work plan, however, the grantee is new and just initiating their PA grant programming.

#### ***Leadership and Governance***

- Effective Board: How many board members currently serve, who are they?  
We currently have eight members serving on our working board. Their professional experiences include CPA, Physician's Assistant, Pastor, Medical Logistician, Educator, Early Childhood specialist, Accountant, and an Industrial Laborer.
- How often do they meet? How are they informed of organization's progress and challenges?  
The BOD meets monthly and holds an annual strategic planning meeting each February. The director prepares monthly reports that are discussed at each meeting to keep the BOD informed of organizational progress and challenges. The Director and the BOD President also meet monthly, independent from the regularly scheduled meeting to prepare the agenda.

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- How supportive is the Board of the program?  
The BOD is very supportive of the program.
- How is the program staffed? Who is responsible for the supervision of grant staff?  
The program is staffed by the Executive Director and two Client Advocates, with a combined total of 70 hours / week. The Executive Director is responsible for supervising all grant staff.
  - How are staff evaluated on their performance? How long have PA staff been employed there?  
Existing and all staff are evaluated annually in January. New staff members are evaluated 90 after their start date, in addition to the annual staff evaluations. The Executive Director has been employed here for 2 years, Client Advocate 1 has been employed here for 3 years and 11 months and our second Client Advocate has been employed for 2 months.
  - How are staff background checks done?  
Background checks are done prior to being hired.
  - What is your organization's policy on complaints for staff and clients?  
Staff members and volunteers sign a conflict resolution agreement and then follow the agreed upon steps if a complaint is filed. Clients request to file an incident report if they'd like to file a complaint.

### **Budget**

- Does the current budget reflect your work plan activities?  
Yes
- Is the budget accurate for the project size/scope?  
Yes – It has been increased from past years
- Do you have any challenges with the budget or invoicing?  
Not at this time
- Has your Financial Reconciliation taken place?  
NO
- If you have an elevated risk designation, and/ or your Financial Reconciliation report cited any concerns, these will be discussed.  
N/A

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### **Review Work Plan including:**

#### **Partners**

- If applicable: how are people referred to the program? Are there any barriers encountered with referral sources? What is your most common referral source?  
Internally clients that have received a positive pregnancy confirmation are encouraged to participate in our Earn While You Learn program to 1. Help them understand the gestational development of their baby, 2. Help them prepare to parent, and 3. Help supply them with necessary material items needed to care for an infant. Clients are most typically referred to this program by their peers and word of mouth. We also work closely with other agencies who serve a similar population and educators in the local schools. Barriers in regards to our referral sources include limited knowledge of the complete scope of the program. Typically only relevant with peer to peer referrals. Existing and former clients are our most common referral source.
- Challenges with partners or specific counties? N/A

#### **Work Plan**

- Review your 2016 – 19 grant application's description of the program you are asking to be funded. On your work plan note the services and activities you said you would provide and the number of clients you would serve.  
Car seat program: 2/ quarter, Crib Distro and sleep safe: 10/ quarter, Life Skills: 8/ quarter, Nutrition: 12/ quarter, Parenting Education: 25/ quarter, Pregnancy Education: 25/ quarter, Necessary services: 12/ quarter, Necessary services none grant clients: 2/ quarter.
- **Prepare a short summary of your current program(s) and the number of clients being served.** How does what you describe in the application compare with what you are currently providing? Have any programs and/or activities or services been added or removed? Have the number of clients being served per quarter decreased or increased since June 2016? Is there anything in particular you want to share about your current program to explain its current status?  
We are on track with our Earn While You Learn program and the services described in our application have not changed. We are in the process of investing an estimated \$1300 in updating our curriculum and adding to our Spanish curriculum. We have several Spanish speaking clients who have completed all of our current Spanish curriculum. By expanding what we have to offer them, they will be able to participate in the program for a longer duration. We are also evaluating our "client

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cash” value and how it is to be used. One change we will be making soon is to disperse diapers by size / value. i.e. 1 client cash would buy 20 size NB – 1, or 10 size 2-4, or 5 size 5-6. Our anticipated number of participants per activity are a bit lower than we had projected. I believe this is primarily due to internal changes in staffing and hours of operation. Now that we have been able to increase our coverage and hours of operation compared to earlier in the grant cycle, I’m confident we will be better able to reach our targeted numbers.

- Do you anticipate making any changes to the 2017-18 Work Plan? If so, in what way and for what reasons?

Not at this time unless recommendations are made by the Grant Manager.

### Participants:

- What type of outreach does the organization put into action? What is working well? What are more the challenging aspects to finding or retaining clients?

Outreach includes working with the local schools and youth groups, partnering with other agencies who serve similar clients and having a presence by participating in community wide events and activities where our target market is likely to attend. It has served us well to work with other local agencies who serve the same target market. Having a constant presence in the community by being where the target market is, has worked well for us. Red Wing has limited employment opportunities, we have had a lot of clients leave the area in pursuit of better employment opportunities.

### Data:

- How is program data collected and by whom? Is data collected useful to agency? Program data is collected through various intake forms and questioners which are conducted at pre scheduled intervals. In information is collected by the staff from the clients and recorded into our database. The data is useful in terms of identifying the demographics of our clients.

- Anything we can do to help or simplify data collection?

Provide samples of work to show how you’d like items submitted.

Provide a binder with all the appropriate tabs of the records and materials that need to be kept. This would ensure each grantee was filing things properly.



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### **Review Evaluation**

- Your 2015-16 Evaluation Report Summary will be discussed (If you were a past grantee).  
N/A
- Your 2016-17 Evaluation Plan will be reviewed. Any suggestions provided in your 2015-16 Report Summary should be included in the plan, if you are continuing a similar evaluation. If you are planning a new evaluation, details will be discussed. Do you have any questions on your evaluation?  
New Beginnings will evaluate their safe sleep program for their 2016-17 evaluation project. After reviewing their plan it was suggested that the staff revisit their suggested indicator of 25% improvement in their set goals. A new evaluation plan will be submitted by staff with a new suggested indicator. The Executive Director also asked for a copy of the most recent previous evaluation report requirements.

### **Miscellaneous**

- Anything else you would like to share?  
Not at this time.
- Anything else we haven't asked?  
No

### **What can we do to help?**

- Trainings and Grantee meetings useful for grantee? Any topic suggestions?  
Suggested topics for future meetings or trainings included adoption and information for funding sources for non-profits.
- Feedback or suggestions for the state?  
None at this time.
- Is there any way MDH can assist you to better equip your success in the Positive Alternatives Grant Program?  
This grantee would like to have an organized binder provided with outlines or help in organizing their PA records.

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**Summary:**

New Beginnings Family Services of Red Wing (NBFS) is a first time grantee for the new 2016-19 grant cycle and officially opened for services in 2006 with an Earn While You Learn Program. NBFS is working hard to learn the Positive Alternative grant program as a new grantee. Staffing has been an issue at the beginning of the grant. They are now fully staffed and expect to have normal business hours with expected consistent services provided for all clients.

As a new grantee we reviewed all of the Center's policies and procedures regarding their PA program. We also reviewed the MDH Excel staff time sheet example that was sent at the beginning of the grant. Newly revised Pa grant policies were reviewed and questions were answered.

PA funding for NBFS was requested for their pregnancy and parenting education services. The services are provided by an Executive Director and 2 Client Advocates. NBFS also provides medical services that are not PA funded including pregnancy testing, ultrasounds and full-panel STI testing all provided by a staff nurse.

NBFS will be updating their current pregnancy and parenting education curriculum. Staff also shared that the area has a large Hispanic population. Suggested future program expansion may include Spanish educational materials for their pregnancy and parenting programs along with a possible staff interpreter.

Risk evaluation has been designated for the Center as a "Medium Risk" based on their submitted Due Diligence form in their original application. Medium risk as a designation from the MDH Financial Management staff suggests a higher monitoring protocol for the grantee.

Outreach was discussed and it appears that NCFS has been able to make good community connections with social services including WIC, the local schools and tech college, and local church youth groups. Outreach in the form of advertising is also encouraged to make the Center's services known in the community.

NBFS uses an established PRC web program called *Way Cool* for all data collection and client records. They are hoping to integrate their data collection system in harmony with their PA record keeping requirements.

As NBFS becomes comfortable with the requirements of the PA grant it appears that they will prove to be a responsible and organized grantee. They are grateful for the opportunity to receive funding as a PA grantee. I look forward to our continued partnership with NBFS as a funded grantee of the MDH Positive Alternatives program.

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Date: November 7, 2016  
Grant Manager: Mary Ottman